

11—4.14(8A,22) Personally identifiable information. This rule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the department by personal identifier in record systems as defined in rule 4.1(8A,22). Unless otherwise stated, the authority to maintain the record is provided by 2003 Iowa Code Supplement chapter 8A.

4.14(1) Retrieval. Personal identifiers may be used to retrieve information from any of the systems of records that the department maintains that contain personally identifiable information.

4.14(2) Means of storage. Paper, microfilm, microfiche, and various electronic means of storage are used to store records containing personally identifiable information.

4.14(3) Comparison. Electronic or manual data processing may be used to match, to collate, or to compare personally identifiable information in one system with personally identifiable information in another system of records or with personally identifiable information within the same system.

4.14(4) Comparison with data from outside the department. Personally identifiable information in systems of records maintained by the department is retrievable through the use of personal identifiers and may be compared with information from outside the department when specified by law. This comparison is allowed in situations including:

- a. Determination of any offset of a debtor's income tax refund or rebate for child support recovery or foster care recovery (2003 Iowa Code Supplement section 8A.504);
- b. Calculation of any offset against an income tax refund or rebate for default on a guaranteed student loan (2003 Iowa Code Supplement section 8A.504);
- c. Offset from any tax refund or rebate for any liability owed a state agency (2003 Iowa Code Supplement section 8A.504);
- d. Offset for any debt which is in the form of a liquidated sum due, owing, and payable to the clerk of district court as a criminal fine, civil penalty surcharge, or court costs (2003 Iowa Code Supplement section 8A.504).

4.14(5) Nature and extent. All of the record systems listed in subrule 4.14(6) contain personally identifiable information concerning matters such as income and social security numbers.

4.14(6) Record systems with personally identifiable retrieval. The department maintains the systems or records that contain personally identifiable and confidential information as described in the following paragraphs. The legal authority for the collection of the information is listed with the description or the system.

a. *Personnel files.* Personnel files are maintained by the department and the employee's appointing authority. An employee may have several files depending on the purpose of the file and the records maintained within the file. Personnel files consist of records that concern individual state employees and their families, as well as applicants for state employment.

- (1) Personnel files contain personal, private, and otherwise confidential records related to:
 1. Applicants.
 - Preemployment information, including information gathered during background screenings;
 - Test scores.
 2. Benefits.
 - Employee assistance program participation;
 - Wellness program participation;
 - Pre-tax programs;
 - Health, dental, life, and long-term disability insurance;
 - Benefit elections and miscellaneous benefit documents;
 - Medical information on the employee or a member of the employee's immediate family;
 - Medical information to support the employee's sick leave usage and fitness for duty determinations;
 - Deferred compensation;
 - Workers' compensation.
 3. Employee performance and discipline.
 - Investigations incident to the employee's employment;
 - Information related to disciplinary actions;

- Complaints, grievances, and appeals;
- Performance planning and evaluation;
- Training; and
- Other information incident to the employment of individuals.

(2) These records are collected in accordance with 2003 Iowa Code Supplement chapter 8A, and Iowa Code chapters 19B, 20, 70A, 85, 85A, 85B, 91A, and 509A, and are confidential records under Iowa Code section 22.7(11) and other law because the information in the record is private and personal, the disclosure of which would likely result in an unwarranted invasion of the privacy of the subject of the record or the subject's family. It is unlikely that the personal and private information in these records can be separated from otherwise releasable information without identifying the subject or the subject's family.

b. Employee payroll records. The payroll records system consists of records that concern individual state employees and their families.

(1) This system contains the following information:

1. Workers' compensation;
2. Health, dental, life, and long-term disability insurance;
3. Qualified domestic relations orders;
4. Charitable contributions;
5. Garnishments;
6. Pay and benefits;
7. Equal employment opportunity;
8. Training;
9. Deferred compensation; and
10. Other information incident to the employment of individuals.

(2) Records under the jurisdiction of the department are collected in accordance with 2003 Iowa Code Supplement chapter 8A, and Iowa Code chapters 19B, 20, 70A, 85, 85A, 85B, 91A, and 509A, and are confidential records in part under Iowa Code section 22.7 and other law.

(3) These records contain names, social security numbers, and other identifying numbers, and are collected in the form of paper, microfilm, tape, and computer records. Computer records permit the comparison of personally identifiable information in one record system with that in another system.

c. Vehicle dispatcher files. Vehicle assignments and credit card records may be accessed by personal identifier or by vehicle identification number. Other records which may contain personally identifiable information, but are not retrievable by it, are: mileage reports, auction information, automobile insurance premiums, pool car billings, departmental billing, motor fuel tax refund, and motor oil claims. Records are stored on paper, computer, and microfilm.

d. Capitol complex parking files. The general services enterprise maintains records concerning parking assignments, decals, gate cards, after-hours building passes, parking tickets, departmental parking coordinators, and hearings and appeals. All records except those related to hearings and appeals may be retrieved by personal identifier data. Records related to hearings and appeals are filed by date of hearing only. Records are stored on paper and computer. Records relating to hearings and appeals are also stored on audio tapes.

e. Annual bid bonds. The printing division maintains a file of annual bid bonds for vendors eligible to bid on printing contracts. The file is alphabetical by vendor name and contains only those papers necessary for execution of the bond. This record is stored on paper only.

f. Telephone directory of state employees. The information technology enterprise maintains a telephone directory of state employees. The directory contains names, department names, business addresses and telephone numbers. The publication also includes private industry information and advertising containing business names, addresses and telephone numbers. This record is stored on both paper and computer.

g. Contracts. These are records pertaining to training, consultants, and other services. These records are collected in accordance with 2003 Iowa Code Supplement chapter 8A and Iowa Code chapter 19B and are confidential records in part under Iowa Code section 22.7. These records contain

names, social security numbers, and other identifying numbers, and are collected in the form of paper, microfilm, tape, and computer records. Computer records permit the comparison of personally identifiable information in one record system with that in another system.

h. Vendor files. The department maintains files of vendors eligible to do business with the state of Iowa. Files may contain applications, vendor information booklets, vendor codes, commodity codes, minority-owned vendor identification information, and mailing lists. Records are stored on paper and computer.

4.14(7) *Releasable information on state employees.* The following information that is maintained in the state payroll system or a personnel file shall be released to the public without the consent of the employee because the information is not considered to be confidential information:

- a.* The name and compensation paid to the state employee.
- b.* The date on which the state employee was employed by state government.
- c.* The position or positions that the state employee holds or has held with state government.
- d.* The state employee's qualifications for the position or positions that the state employee holds or has held including, but not limited to, educational background and work experience.